

2131 #7

<b>TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT</b> (Under 37 CFR 1.97(b))			Docket No. <b>CHA920010022US1</b>	
In Re Application Of: <b>Lacan et al.</b>				
Serial No. <b>09/988,320</b>	Filing Date <b>11/16/2001</b>	Examiner <b>N/A</b>	Group Art Unit <b>2131</b>	
Title: <b>DATA MANAGEMENT SYSTEM AND METHOD</b>			<div style="border: 2px solid black; padding: 5px; display: inline-block;"> <b>RECEIVED</b>  <b>APR 30 2004</b>  <b>Technology Center 2100</b> </div>	
Address to: <b>Commissioner for Patents</b> <b>P.O. Box 1450</b> <b>Alexandria, VA 22313-1450</b>				
<b>37 CFR 1.97(b)</b>				
1. <input type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.				
<b>37 CFR 1.97(c)</b>				
2. <input checked="" type="checkbox"/> The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:				
<div style="margin-left: 40px;"> <input checked="" type="checkbox"/> the statement specified in 37 CFR 1.97(e);         </div>				
<b>OR</b>				
<div style="margin-left: 40px;"> <input type="checkbox"/> the fee set forth in 37 CFR 1.17(p).         </div>				

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.  
CHA920010022US1

In Re Application: Lacan et al.

Serial No.  
09/988,320Filing Date  
11/16/2001Examiner  
N/AGroup Art Unit  
2131

DATA MANAGEMENT SYSTEM AND METHOD

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**Payment of Fee**


(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. **09/0469 (IBM)** as described below.
- ☐ Charge the amount of \_\_\_\_\_
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I certify that this document and fee is being deposited on <b>April 26, 2004</b> with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.	
	
Signature of Person Mailing Correspondence	
Dorothea Rubbone	
Typed or Printed Name of Person Mailing Certificate	

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Dated: April 26, 2004

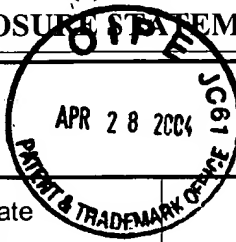
Ronald A. D'Alessandro  
Reg. No. 42, 456  
Hoffman, Warnick & D'Alessandro LLC  
Three E-Comm Square  
Albany, New York 12207  
(518) 449-0044

CC:

**STATEMENT UNDER 37 CFR 1.97(e) ACCOMPANYING  
INFORMATION DISCLOSURE STATEMENT**

Docket No.  
**CHA920010022US1**

In Re Application Of: **Lacan**



Serial No.  
**09/988,320**

Filing Date  
**11/16/2001**

Examiner  
**N/A**

Group Art Unit  
**2131**

Invention: **DATA MANAGEMENT SYSTEM AND METHOD**

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**APR 30 2004**

**Technology Center 2100**

**TO THE COMMISSIONER FOR PATENTS:**

This is a statement under the provisions of 37 CFR 1.97(e) in the above-identified application.

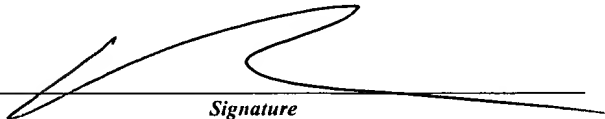
• Check applicable statement herebelow:

**Statement Under 37 CFR 1.97(e)(1)**

- ☒ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

**Statement Under 37 CFR 1.97(e)(2)**

- ☐ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

  
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Dated: **April 26, 2004**

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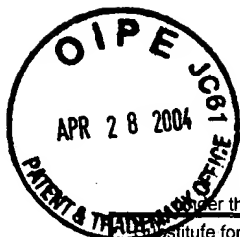
  
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**Dorothea Rubbone**

*Typed or Printed Name of Person Mailing Correspondence*

**Ronald A. D'Alessandro**  
**Reg. No. 42,456**  
**Hoffman, Warnick & D'Alessandro LLC**  
**Three E-Comm Square**  
**Albany, New York 12207**  
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	09/988,320
				Filing Date	11/16/2001
				First Named Inventor	Lacan
				Art Unit	2131
				Examiner Name	N/A
Sheet	1	of	2	Attorney Docket Number	IBMC-0039

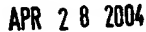
U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
		US-6,073,106	06/06/2000	Rozen et al.	<b>RECEIVED</b>  APR 30 2004  Technology Center 2100
		US-5,787,169	07/28/1998	Eldridge et al.	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> -Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				
		EP 1 089 196 A2	04/04/2001	NCR International, Inc.		
		EP 1 031 908 A2	08/30/2000	Fischer		
		EP 0 990 972 A1	04/05/2000	NCR International, Inc.		

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of US PTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Substitute for form 1449B/PTO

(use as many sheets as necessary)

Sheet	2	of	2
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**Complete if Known**

Application Number	09/988,320
Filing Date	11/16/2001
First Named Inventor	Lacan
Art Unit	2131
Examiner Name	N/A
Attorney Docket Number	IBM-0039

## NON PATENT LITERATURE DOCUMENTS

Technology Center 2100

**Examiner  
Signature**

Date  
Considered

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

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